Data Submission Dispenser Guide

Iowa Prescription Monitoring Program

February 2018 Version 2.0

Effective April 4, 2018

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1 Data Collection and Tracking

Data Collection Overview

In accordance with Iowa Code Chapter 124, the Iowa Board of Pharmacy (Board) has established an electronic prescription drug-monitoring program for the purpose of compiling records of Schedule II, III, and IV Controlled Substances dispensed by Iowa pharmacies.

The program is designed to provide information regarding the prescribing of controlled substances in order to provide a resource for Iowa health care practitioners in determining appropriate prescribing and treatment for individual patients without fear of contributing to a patient's abuse or dependence on addictive drugs or diversion of those drugs to illicit use. The program will provide authorized prescribers and pharmacists with information needed to make informed decisions regarding a patient's need for these dangerous substances, enhancing patient care and chronic or acute pain remedies.

Data Collection Requirements

Pharmacies will report the required dispensing information to Appriss, Inc. (Appriss), a private contractor, who will collect all data and manage the technical aspects of the program on behalf of the Board.

All dispensers of controlled substances must meet the reporting requirements set forth by state law in a secure methodology and format. Information about controlled substance dispensing activities must be reported on regular intervals to the IA PMP through the authorized data collection vendor, Appriss, Inc.

Reporting Requirements

Effective April 4, 2018, the IA PMP will begin requiring pharmacies and dispensers to report controlled substance dispensations to the IA PMP via PMP Clearinghouse.

The laws and regulations for reporting to the IA PMP are continuously subjected to amendments. It is the responsibility of dispensers to be aware of such updates as they are enacted and promulgated.

All Iowa-licensed pharmacies located within or outside the state of Iowa will be required to submit weekly reports of all Schedule II, III, and IV controlled substances dispensed to patients in Iowa. Prescriptions dispensed between Sunday and Saturday must be submitted no later than the following Wednesday. A nonresident pharmacy that is currently submitting weekly reports on an alternate schedule to the pharmacy's home state may contact the Board for authorization to report to the Iowa PMP on that alternate weekly schedule.

Such reporting without individual authorization by the patient is allowed under HIPAA, 45CFR § 164.512, paragraphs (a) and (d). The Iowa Board of Pharmacy is a health oversight agency and Appriss will be acting as an agent of the Iowa Board of Pharmacy in the collection of this information.

Exemptions

The PMP reporting requirements do not apply to “the direct administration of a controlled dangerous substance to the body of an ultimate user…”

In this manual, “dispenser” refers to an Iowa permitted or registered pharmacy.

Exemptions:

- Any controlled drug administered directly to a patient
- Any controlled drug dispensed by a licensed health care facility provided that the quantity dispensed is limited to an amount adequate to treat the patient for a maximum of seventy-two (72) hours
- Any dispensed controlled drug sample
- Any controlled drug dispensed by a facility that is registered by the United States Drug Enforcement Administration (DEA) as a narcotic treatment program and that is subject to the record keeping provisions of 21 CFR 1304.24
- Any controlled drug dispensed to an inpatient in a hospital or long-term care facility (exemption does not apply to a patient in an assisted living facility or group home)
- Any controlled drug dispensed to an inpatient in a hospice facility (exemption does not apply to a home hospice patient or to a hospice patient in an assisted living facility or group home)
- Any controlled drug dispensed by a prescribing practitioner

If you believe your pharmacy is exempt from reporting, you must contact the Board. Call (515) 281-5944; E-mail jennifer.tiffany@iowa.gov**; fax (515) 281-4609.**

Noncompliance

In accordance with Iowa Administrative Code 657-37.9(2) Dispenser Reporting: “A dispenser or a pharmacist who fails to comply with the reporting requirements of the law or these rules may be subject to disciplinary action by the board.”

2 Data Submission

This chapter provides information and instructions for submitting data to the PMP Clearinghouse repository.

Timeline and Requirements

Pharmacies and software vendors can establish submission accounts upon receipt of this guide. Instructions for setting up an account are listed below.

- **You may create your account on or after 03/08/2018. See Creating Your Account for more information.**
- **Beginning 04/04/2018, dispensers are required to transmit their data using PMP Clearinghouse in accordance with the guidelines outlined under Reporting Requirements.**
- **If a pharmacy does not dispense any controlled substances for the preceding reporting period, it must file a zero report for that reporting period or it will be considered noncompliant. See Zero Reports for additional details.**

Upload Specifications

Files should be in ASAP 4.1 format released in September 2011. Files for upload should be named in a unique fashion, with a prefix constructed from the date (YYYYMMDD) and a suffix of ".dat". An example file name would be "20110415.dat". All of your upload files will be kept separate from the files of others.

Reports for multiple pharmacies can be in the same upload file in any order.

3 Creating Your Account

Prior to submitting data, you must create an account. **If you are already registered with PMP Clearinghouse, you do not need to create a new account. A single account can submit to multiple states.** If you have an existing PMP Clearinghouse account, see section 8.2 Adding States to Your Account.

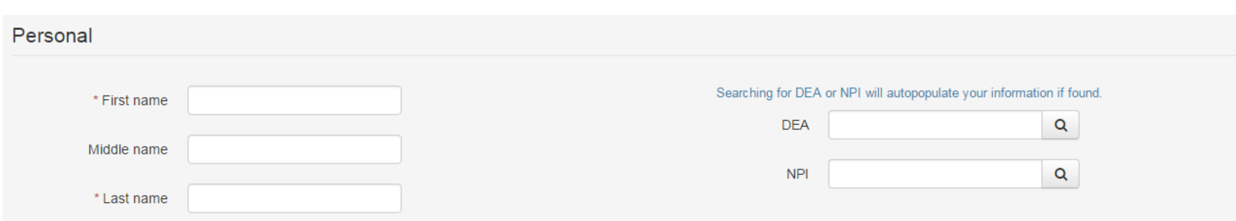
Note: Multiple pharmacies can be uploaded in the same file. For example, Wal-Mart, CVS, and other chain pharmacies send in one file containing all their pharmacies from around the state. Therefore, chains with multiple stores only have to set up one account to upload a file.

Perform the following steps to create an account:

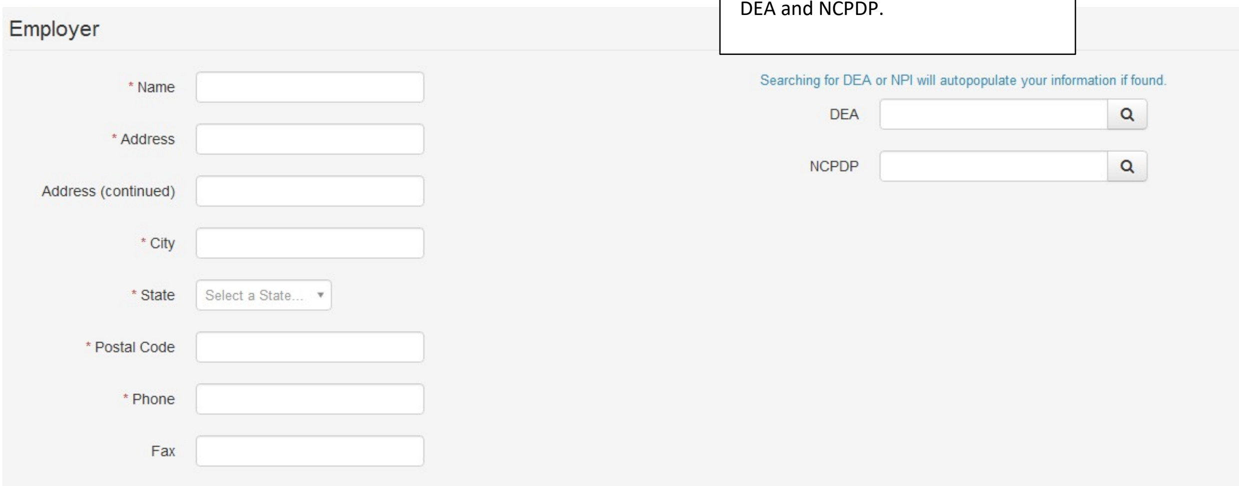
1. To request a data submitter account for PMP Clearinghouse, the user must go to https://pmpclearinghouse.net and click the *Create Account* link in the center of the screen, or go directly to https://pmpclearinghouse.net/registrations/new

2. The screen displayed requires the user to enter their current, valid email address and a password. This email address will act as your user name when logging into the system.
   - **The password must contain at least 8 characters, including 1 capital letter, 1 lower case letter, and 1 special character (such as !, @, #, $).**

3. The second grouping is the demographics section. Here, the user must enter their name, employer information, and other information as configured by the PMP Administrator.
   - Required fields are marked with a red asterisk (*)
   - The user may be able to auto populate their user and employer information using the search boxes for listed identifiers (DEA, NCPDP, or NPI).



This screen provides that searching for “DEA or NPI…” but fields are DEA and NCPDP.



NOTE: PMP Clearinghouse users are able to submit data through the web portal via *manual entry (UCF)* or upload of *ASAP files*. *Secure FTP (sFTP)* access is also available for users who prefer an encrypted transfer method. If *Secure FTP* access is not required, skip to step 6.

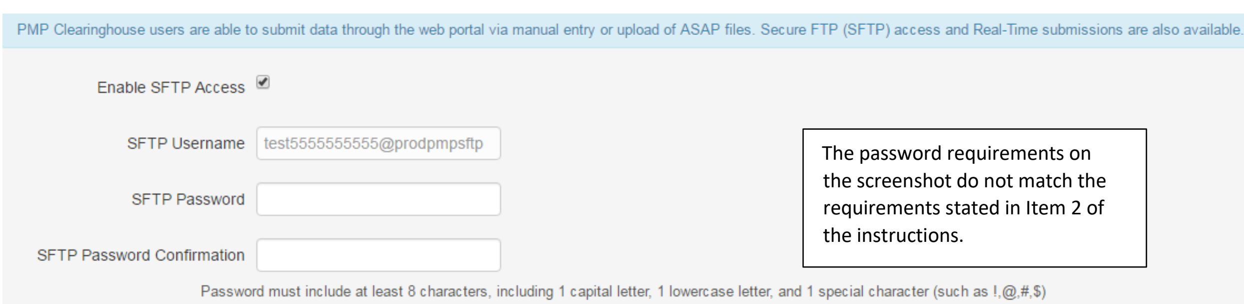
sFTP Account Creation

If the user would like to submit data via sFTP, sFTP access can be granted during account registration. See Adding sFTP to a Registered Account to add sFTP access to an existing PMP Clearinghouse account

1. Check the “*Enable sFTP Access*” box as seen below. The sFTP username is automatically generated using the first 5 characters of the employer name + the employer phone number + @prodpmpsftp. Example username: chain5025555555@prodpmpsftp

2. Create a sFTP password that meets the following criteria: **contain at least 8 characters, including 1 capital letter, 1 lower case letter, 1 number, and 1 special character (such as !, @, #, $).**

   NOTE: This will be the password that is input into the pharmacy software so that submissions can be automated. This password can be the same as the one used previously under *Profile*. Unlike the Profile password (i.e. user account password), the sFTP password does not expire.

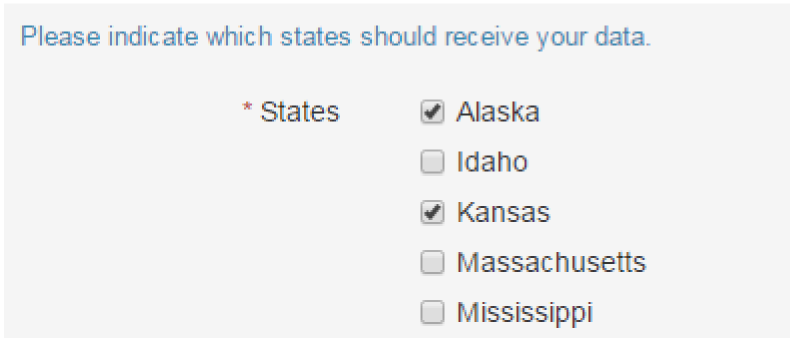


The password requirements on the screenshot do not match the requirements stated in Item 2 of the instructions.

The URL to connect via sFTP is *sftp://sftp.pmpclearinghouse.net*

Additional details on sFTP configuration can be found in Appendix C – sFTP Configuration.

6. The registering user must select which states they will be submitting data for. A list of available states using PMP AWAR$_{X}$E are selectable.



7. The registering user clicks "*Submit*." The request is submitted to the PMP Administrator for each of the states the user selected for data submission.

    - Once the State PMP Administrator has approved the request, the user will receive a welcome email and can begin submitting data to PMP AWAR$_{X}$E.

4 Data Delivery Methods

This section discusses the different options available to a user to submit your controlled substance reporting data file(s) to PMP Clearinghouse. Users have the options of:

- using a sFTP account;
- using a web portal upload page;
- using a manual entry UCF (Universal Claims Form) page; or
- submitting a zero report.

4.1 Secure FTP

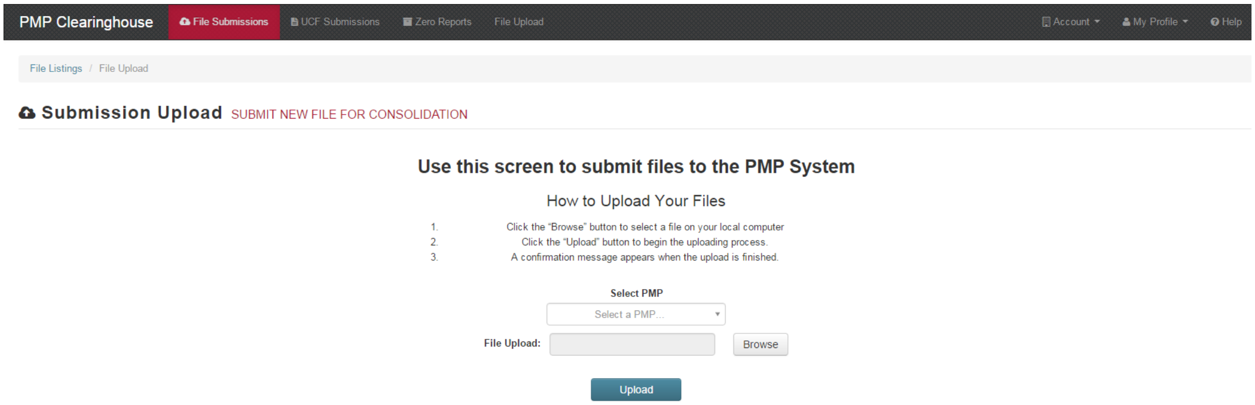
Data submitters who select to submit data to PMP Clearinghouse by sFTP must configure individual folders for the state PMP systems they will be submitting data to. **The sub-folders should use state abbreviation for naming (ex. IA, KS, ME, OR, etc.).** The subfolder must be located in the *homedir/directory*, which is where you land once authenticated. Data files not submitted to a state subfolder will be required to have a manual state PMP assignment made on the *File Listings* screen. See State Subfolders for additional details on this process.

1. If a Clearinghouse account has not yet been created, perform the steps in Creating Your Account. If a Clearinghouse account already exists, but needs sFTP access added, perform the steps in Adding sFTP to a Registered Account.
2. Prepare the data file(s) for submission, using the ASAP 4.1 specifications described in Appendix A.
3. sFTP the file to sftp://sftp.pmpclearinghouse.net.
4. When prompted, use the username and password you entered when setting up the SFTP account.
5. Place the file in the appropriate state abbreviated directory.
6. The user can view the results of the transfer/upload on the *Submissions* screen.

Note: If a data file was placed in the root directory and not a state sub-folder, the user will be prompted in the form of a "*Determine PMP*" error at the *File Status* screen to select a destination PMP (state) to send the data to.

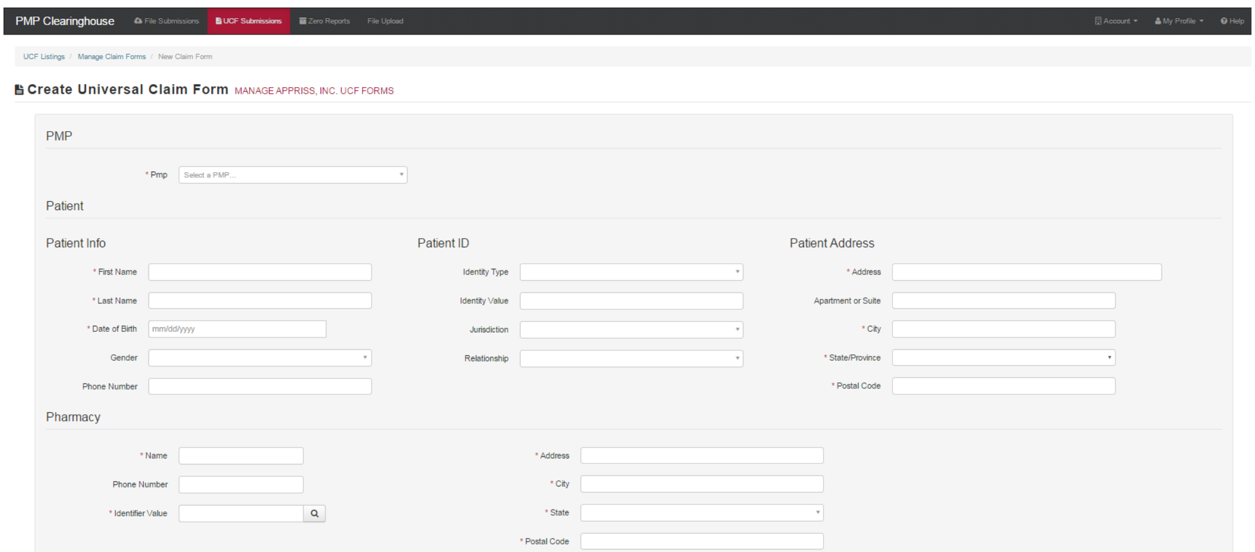
4.2 Web Portal Upload

1. If an account has not yet been created, perform the steps in Creating Your Account.
2. After logging into PMP Clearinghouse, navigate to *File Upload* in the menu bar.
3. You must select a destination PMP from the available states listed in the drop-down.
4. Click on the "*Browse"* button and select the file to upload.
5. Click the "*Upload"* button to begin the process of transferring the file to PMP Clearinghouse.
6. The results of the transfer/upload can be viewed on the *File Submissions* screen.



4.3 Manual Entry (UCF)

Manual Entry is an option for data submitters to enter their prescription information into the PMP Clearinghouse system using a form derived from the [Universal Claims Form](). It allows the entry of patient, prescriber, dispenser, and prescription information.

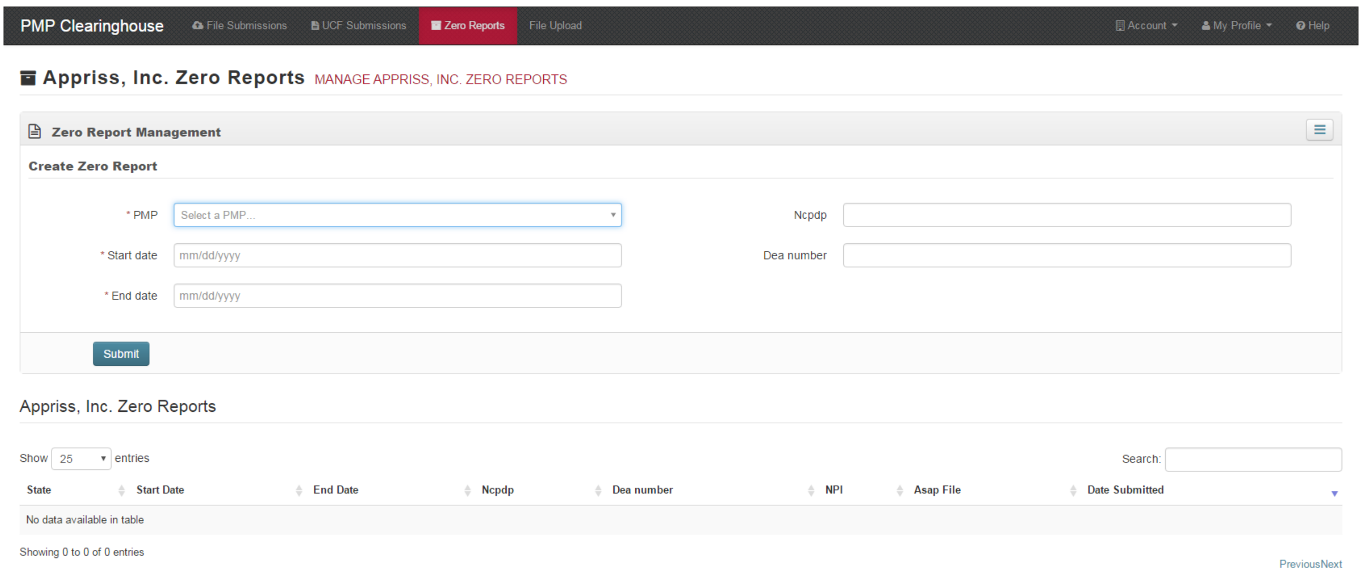


1. If you do not have an account, perform the steps in [Creating Your Account]().
2. After logging into PMP Clearinghouse, navigate to *UCF Submissions* in the menu bar.
3. Choose *New Claim Form* to begin a submission.
4. You must select a destination PMP from the available states listed in the drop-down.
5. Complete all required fields as indicated by a red asterisks (*).
6. Click "*Save*."
7. Then click "*Submit*."
8. The results can be viewed on the *UCF Listing* screen.

4.4 Zero Reports

If you have no dispensations to report, you must report this information to the IA PDMP by performing the following steps:

1. If you do not have an account, perform the steps in Creating Your Account.
2. After logging into PMP Clearinghouse, navigate to *Zero Reports* in the menu bar.
3. You must select a destination PMP from the available states listed in the drop-down.
4. Enter the start date and end date for the report and click on the *Submit* button. (NCPDP and DEA number are optional)
5. The request will be submitted to PMP Clearinghouse.



Zero Reports can also be submitted via sFTP using the ASAP Standard for *Zero Reports*. For additional details on this method, see Appendix B - ASAP Zero Report Specifications.

5 Data Compliance

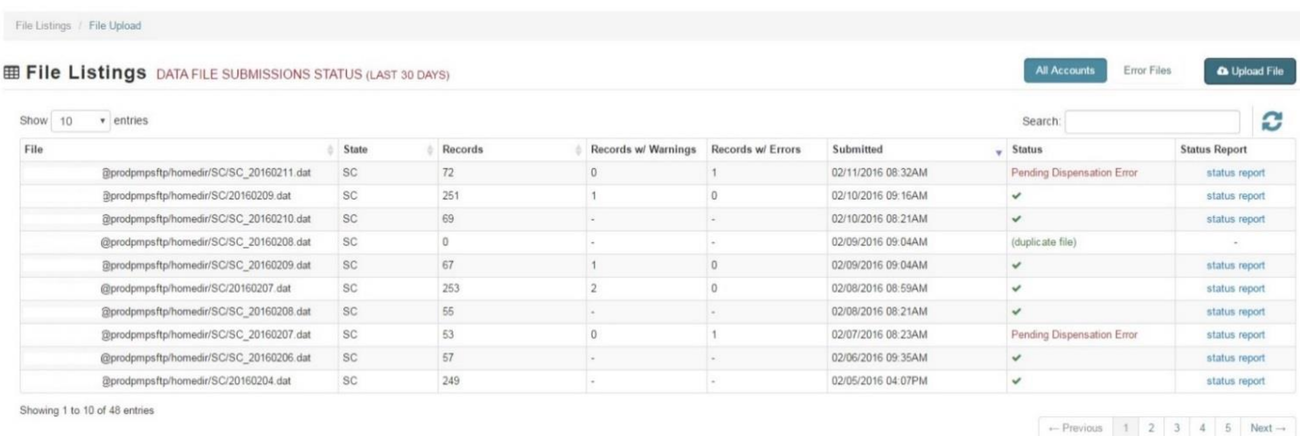
Data Compliance allows users of PMP Clearinghouse to view the status of data files they have submitted.

5.1 File Listing

The *File Status* screen displays information extracted from the data files submitted to PMP Clearinghouse. The screen displays the file name, the number of records identified within the data file, the number of records that contain warnings, the number of records that contain errors, and the date and time of submission. A status column is located at the end of each row displaying the status of the file. If there are errors the status column will state "*Pending Dispensation Error,*" and the text will be a hyperlink to the *View Records* screen.

If a file is unable to be parsed into the Clearinghouse application, the appropriate message will display. A new file must be submitted to PMP Clearinghouse. It is not necessary to void a file that failed parsing since it was not successfully submitted to Clearinghouse.

If a file has been submitted by sFTP without using a state specific sub-folder, the file will be displayed and the user will be prompted to select a destination PMP for the data file to be transferred to.


File Listings / File Upload

File Listings DATA FILE SUBMISSIONS STATUS (LAST 30 DAYS)

All Accounts Error Files Upload File

Show 10 entries Search:

File	State	Records	Records w/ Warnings	Records w/ Errors	Submitted	Status	Status Report
@prodpmpsftp/homedir/SC/SC_20160211.dat	SC	72	0	1	02/11/2016 08:32AM	Pending Dispensation Error	status report
@prodpmpsftp/homedir/SC/20160209.dat	SC	251	1	0	02/10/2016 09:16AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160210.dat	SC	69	-	-	02/10/2016 08:21AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160208.dat	SC	0	-	-	02/09/2016 09:04AM	(duplicate file)	-
@prodpmpsftp/homedir/SC/SC_20160209.dat	SC	67	1	0	02/09/2016 09:04AM	✔	status report
@prodpmpsftp/homedir/SC/20160207.dat	SC	253	2	0	02/08/2016 08:59AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160208.dat	SC	55	-	-	02/08/2016 08:21AM	✔	status report
@prodpmpsftp/homedir/SC/SC_20160207.dat	SC	53	0	1	02/07/2016 08:23AM	Pending Dispensation Error	status report
@prodpmpsftp/homedir/SC/SC_20160206.dat	SC	57	-	-	02/06/2016 09:35AM	✔	status report
@prodpmpsftp/homedir/SC/20160204.dat	SC	249	-	-	02/05/2016 04:07PM	✔	status report

Showing 1 to 10 of 48 entries

← Previous 1 2 3 4 5 Next →

5.2 Claim Forms Listing

The *Claim Forms Listing* displays the UCF forms submitted to the PMP Clearinghouse. The screen displays the number of warnings and the number errors. A status column is located at the end of each row displaying the status of the file. If there are errors, then the status column will state "*Pending Dispensation Error,*" and the text will be a hyperlink to the *View Records* screen.

5.3 View Records

The *View Records* screen provides a deeper view of the records within a selected data file that need correcting. The screen displays Prescription Number, Segment Type, Warning Count, and

Error Count. A *Correct* button is displayed at the end of each row that will allow the user to make corrections to the record.

To view the records that need correcting:

1. Click on the "*Pending Dispensation Error*" hyperlink in the status column.
2. The *View Records* screen is displayed.
3. Click on the "*Correct"* button at the end of the row for the record you want to correct.

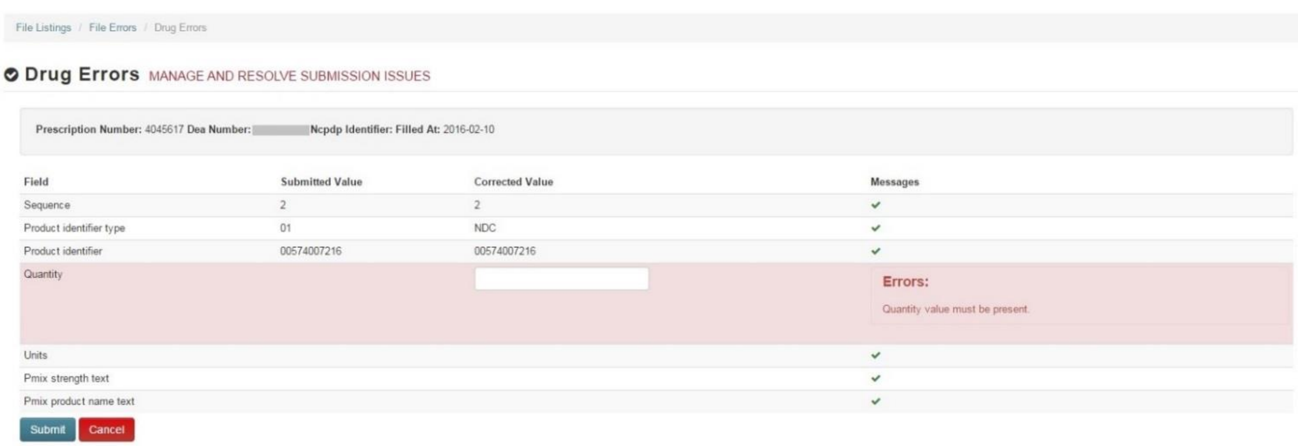
5.4 Error Correction

The *Error Correction* screen allows a user to make corrections to data submitted that did not pass the validation rules. The screen displays all the fields contained within the record and the originally submitted value. A "Corrected Value" column displays the values the user enters to correct the error. The "Message" column displays the relevant error message for the field explaining why it did not pass the validation rules.

For files that failed to parse, the error identified is "best effort" and any information we could not parse is listed as "unparseable" in the file. A corrected file should be submitted.

To correct records:

1. Identify the fields displayed that require corrections.
2. Enter the new corrected value into the corrected value column.
3. Click *Submit*.
4. The error will be processed through the validation rules.
    a. If the changes pass the validation rules, the record will be identified as valid, and the *File Status* and *View Records* screen will be updated.
    b. If the changes fail the validation rules, the record will continue to be identified as needing corrections. The error message will be updated to identify any new error message.



6 Email Reports

Email status reports will be automatically sent to the users associated with a data submitter account. The emailed reports are used to both identify errors in files that have been submitted and confirm a zero report submission.

6.1 File Failed Report

The *File Failed Report* identifies if the submitted file was not able to be parsed and was not processed into PMP Clearinghouse. The file contains a description of the error encountered within the file. In the event of a failed file, a new file should be submitted with the necessary corrections. Failed files are not parsed into Clearinghouse and do not require a *Void ASAP* file to remove it from the system. An example of a *File Fail Report* is:

```
SUBJ: Iowa ASAP file: fake-test3.txt - Parse Failure

BODY:
Error Message
-----------------------------------------------------------------------------
Failed to decode the value '04' for the bean id 'transactionControlType'.


Summary:
* File Name: fake-test3.txt
* ASAP Version: 4.1
* Transaction Control Number: unparseable
* Transaction Control Type: unparseable
* Date of Submission: January 30, 2018

NOTE: This file could not be received into the system because the system
could not recognize its content as a valid ASAP format.  Action is required
to resolve the issues and a subsequent file should be submitted. As such the
information provided in this report is "best effort" and any information we
could not parse is listed as "unparseable" in the fields above.
```

6.2 File Status Report

The *File Status Report* is a report sent to notify the data submitter that a data file is currently being parsed by the state PMP system. The report notifies users of the following scenarios:

- **Total Records**: The total number of records contained in the submitted data file.
- **Duplicate Records**: The number of records that were identified as already existing within the PMP system. Duplicate records are not imported to prevent improper patient information.
- **Records in Process**: The number of records remaining to be processed into the system (usually only displays a number if the file has not finished loading at the time the report is sent out). **Records remaining to be processed will continue to be processed even after the status report is sent.**
- **Records with Errors**: Shows how many records that contain errors. These errors will need to be corrected for the record to be imported into the system. If a zero (0) is displayed, there are no errors in the data.

- **Records with Warnings**: Shows how many records that contain warnings. These warnings do not need to be corrected for the record to be imported into the system. If a zero (0) is displayed, there are no warnings in the data.
- **Records imported with warnings**: Shows the number of records that were imported if they had warnings. Records with warning and errors must have the errors corrected to be submitted into the system.
- **Records imported without warnings**: Shows the number of records that were imported that had no warnings.

The initial report is sent out 2 hours after the file has been submitted to the system. Status reports will be received every 24 hours if errors continue to be identified within a submitted data file.

The report identifies specific records in the submitted data file and returns identifying information about the record and the specific error identified during the validation process. The report uses fixed width columns and contains a summary section after the error listings. Each column contains a blank 2-digit pad at the end of the data. The columns are set to the following lengths:

Column	Length
DEA	11 (9+pad)
NCPDP	9 (7+pad)
NPI	12 (10+pad)
Prescription	27 (25+pad)
Filled	10 (8+pad)
Segment	18 (16+pad)
Field	18 (16+pad)
Type	9 (7+pad)
Message	Arbitrary

An example of the report is:

```
SUBJ: Iowa ASAP file: fake-test3.txt - Status Report

BODY:
DEA        NCPDP    NPI         Prescription                Filled    Segment          Field            Type     Message
----------------------------------------------------------------------------------------------------------------------------------
BE1234567  1347347  9034618394  123486379596-0              20130808  Dispensation     refill_number    WARNING  message example
DE9841394  3491849  4851947597  357199504833-345            20130808  Dispensation     days_supply      ERROR    message example


Summary:
* File Name: fake-test3.txt
* ASAP Version: 4.1
* Transaction Control Number: 23489504823
* Transaction Control Type: send
* Date of Submission: January 30, 2018
* Total Record Count: ###
* Duplicate Records: ###
* In Process Count: ###
* Records with Error Count: ###
* Imported Records Count: ###
* Records Imported with Warning Count: ###
```

6.3 Zero Report Confirmation

A *Zero Report Confirmation* email is sent to a data submitter who successfully submits a zero report into PMP Clearinghouse. The report displays the PMP the zero report was submitted to, the date range to be used in the zero report, the date the zero report was submitted to Clearinghouse, and the date the report was originally created by the data submitter. An example of the report is:

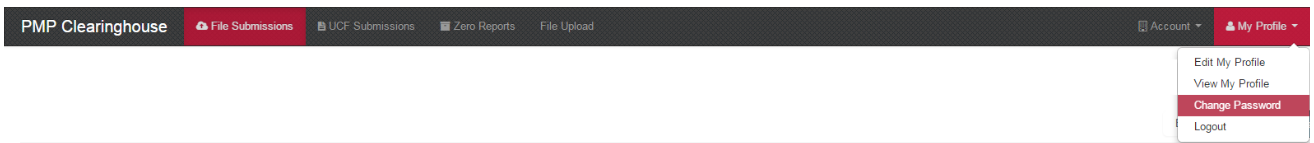
```
SUBJ: ASAP Zero Report: zero_reports_20130301KSMCPS.DAT

BODY:
Summary:
* File Name: zero_reports_20130301KSMCPS.DAT
* PMP Name: Iowa
* Date Range: 2013-03-06 - 2013-03-06
* Submission Date: 2013-08-23
* Asap Creation Date: 2013-03-06
```

7 Password Management

Password management can be handled within PMP Clearinghouse by the user. A user is able to proactively change their password before it expires within the application through their user profile. If a password has expired, or if the user has forgotten their password, they can use *"Forgot your password"* to change their password.

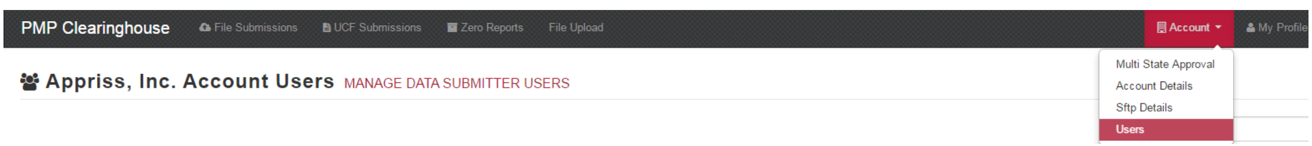
7.1 Changing Your Password

1. Users navigate to the *My Profile* section.
2. Select the navigation menu item for "*Change Password*."
3. The user must then enter their current password and enter their new password twice.
4. The new password will take effect once the user has logged out of the application.



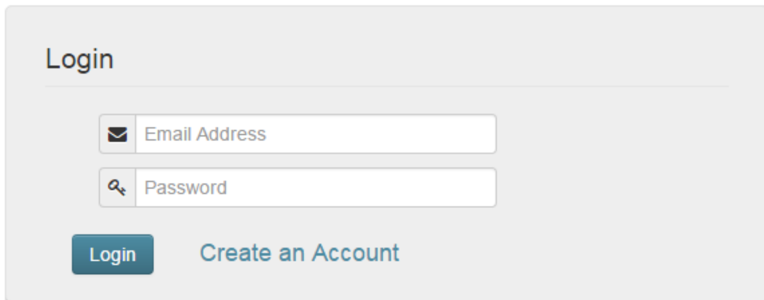
7.2 Changing Passwords for Another User

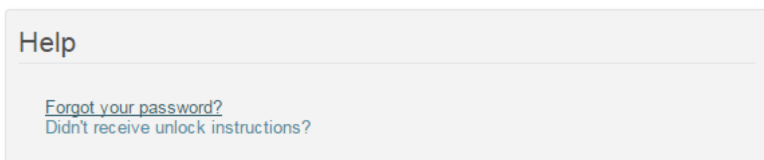
1. Navigate to the *Accounts Menu* option.
2. Select *"Users."*
3. Select the *"Edit"* button for the desired user.
4. Create a new password for the user and click "*Submit*."
5. The user will now use the new password for logging into PMP Clearinghouse.



7.3 Forgot Your Password

1. When a user has forgotten their password or their password has expired, the user should click "*Forgot your password*" located on the login screen.
2. The user must enter the email address they used to register with the application.
3. The user will receive an email containing a link to reset the password for the user's account.
4. The user must enter the new password twice and then save the password.





8 User Profile

8.1. Adding Users to Your Account

PMP Clearinghouse allows data submitters to add new users to the system that will have the same rights and access to submitting and viewing file status. This practice will allow a data submitter to create an account to be used for a backup individual.

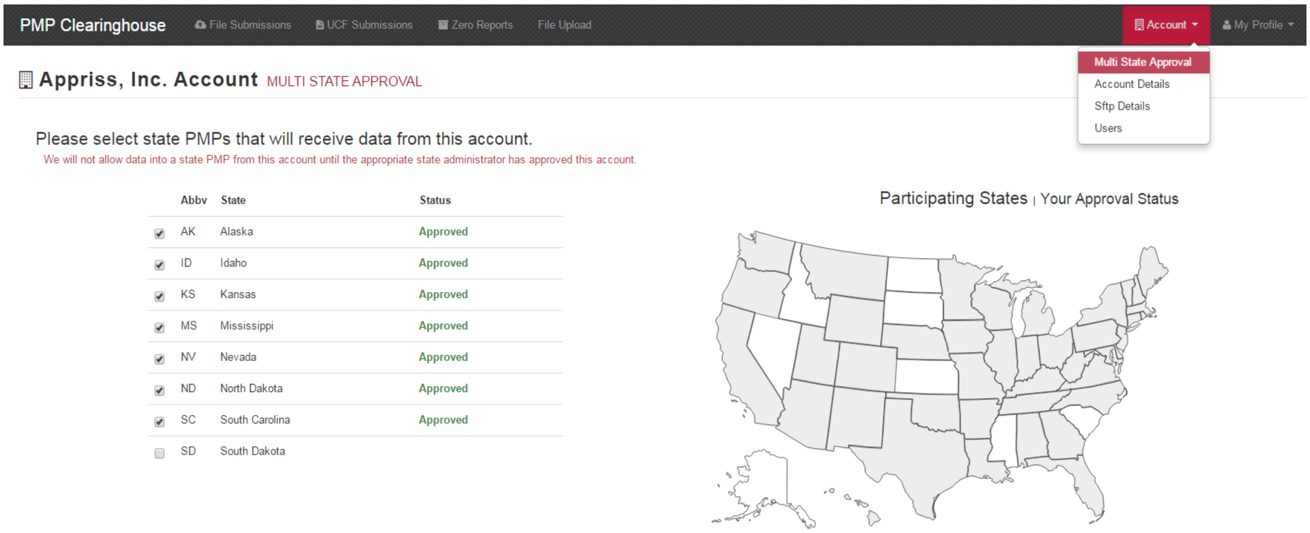
1. In *Account* in the Menu bar, the user can add users under the section "*Users*."
2. Click the "*New User*" button and enter the first name, last name, and email address for the new user.
3. Once saved, the new user will be able to login to PMP Clearinghouse.
   a. The new user will use the email address used when creating their account.
   b. The new user must use the *"Forgot your password"* link to create a password for their account.
4. The new user can now login and view all data files that have been submitted under the account.

8.2. Adding States to Your Account

If a registered user of PMP Clearinghouse needs to submit data files to an additional state using PMP AWAR$_X$E, the user can submit the request through their *Account Settings* page.

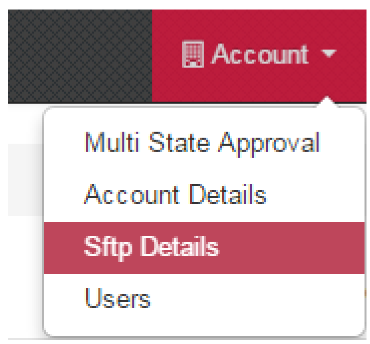
1. Navigate to *Account* in the main menu and select "*Multi State Approval*" from the dropdown.
2. The page that displays lists the current states the account has requested to submit data to and the current approval from that state.
3. To submit to a new state using PMP AWAR$_X$E, simply check the state on the list. This will send the data submission request to the desired state's PMP Administrator for approval.
4. After approval has been granted, the status will change from *"Pending"* to *"Approved."*
5. The account may begin submitting data to the new state.

Note: If submitting by sFTP, data must be located in the proper sub-folder to ensure proper delivery to the desired state PMP.



8.3. Adding sFTP to a Registered Account

If a registered account did not request a sFTP account during the registration process, a user of the account can request one in *Account* options.



1. Navigate to the *Account* drop down menu and select *sFTP Details*.
2. Select the button to request a sFTP account.

Note: If a sFTP account already exists, the username will be displayed on this screen.

3. Enter the desired password for the sFTP account.
4. The sFTP username will be displayed on the screen after the sFTP account has been created.

9 Document Information

Disclaimer

Appriss has made every effort to ensure the accuracy of the information in this document at the time of printing; however, information may change without notice.

Revision History

Version	Date	Changes
1.0	02/16/18	• Initial Draft
2.0	02/26/18	• Updated state contact information • Added PAT02 and PAT03 as "Preferred, but not Required" in Appendix A: ASAP 4.1 Specs • Added "Requirement" language to support CDI fields in Appendix A: ASAP 4.1 Specs • Adjusted font size from 12pt to 11pt on pages 4-6 • Adjusted technical assistance availability on page 24

10 Assistance and Support

Technical Assistance

If you need additional help with any of the procedures outlined in this guide, you can:

Contact Appriss Health at

844-442-4767

Create a support request using the following URL

https://apprisspmpclearinghouse.zendesk.com/hc/en-us/requests/new

Technical assistance is available Monday through Friday 7 AM to 7 PM Central Time

Beginning April 4, 2018, technical assistance will be available 24/7

Administrative Assistance

Call (515) 281-5944
E-mail jennifer.tiffany@iowa.gov
Fax (515) 281-4609

11 Appendix A – ASAP 4.1 Specifications

The following information is the required definitions for submitting ASAP 4.1 records to IA PMP. The table will list the Segment, Element ID, Element Name, and Requirement.

Element ID	Element Name	Requirement
TH – Transaction Header To indicate the start of a transaction. It also assigns the segment terminator, data element separator, and control number.		
TH01	**Version/Release Number** Code uniquely identifying the transaction. Format = x.x	**Yes**
TH02	**Transaction Control Number** Sender assigned code uniquely identifying a transaction.	**Yes**
TH05	**Creation Date** Date the transaction was created. Format: CCYYMMDD.	**Yes**
TH06	**Creation Time** Time the transaction was created. Format: HHMMSS or HHMM.	**Yes**
TH07	**File Type** • P = Production • T = Test	**Yes**
TH09	**Segment Terminator Character** Sets the actual value of the data segment terminator for the entire transaction.	**Yes**
IS – Information Source To convey the name and identification numbers of the entity supplying the information.		
IS01	**Unique Information Source ID** Reference number or identification number. (Example: phone number)	**Yes**
IS02	**Information Source Entity Name** Entity name of the Information Source.	**Yes**
PHA – Pharmacy Header To identify the pharmacy or the dispensing prescriber. It is required that information be provided in at least one of the following fields: PHA01, PHA02, or PH03.		

PHA03	**DEA Number** Identifier assigned to the pharmacy by the Drug Enforcement Administration.	**Yes**
PAT – Patient Information Used to report the patient's name and basic information as contained in the pharmacy record.		
PAT02	**ID Qualifier**	**Preferred but not required**
PAT03	**ID of Patient**	**Preferred but not required**
PAT07	**Last Name** Patient's last name.	**Yes**
PAT08	**First Name** Patient's first name.	**Yes**
PAT12	**Address Information – 1** Free-form text for street address information.	**Yes**
PAT14	**City Address** Free-form text for city name.	**Yes**
PAT15	**State Address** U.S. Postal Service state code Note: Field has been sized to handle international patients not residing in the U.S.	**Yes**
PAT16	**ZIP Code Address** U.S. Postal Service ZIP code. Populate with zeros if patient address is outside the U.S.	**Yes**
PAT17	**Phone Number** Complete phone number including area code. Do not include hyphens. For situations in which the patient does not have a phone number, submit ten 9's.	**Yes**
PAT18	**Date of Birth** Date patient was born. Format: CCYYMMDD.	**Yes**
PAT19	**Gender Code** Code indicating the sex of the patient. • F Female • M Male • U Unknown	**Yes**

DSP – Dispensing Record To identify the basic components of a dispensing of a given prescription order including the date and quantity.		
DSP01	**Reporting Status** DSP01 requires one of the following codes, and an empty or blank field no longer indicates a new prescription transaction: • 00 New Record (indicates a new prescription dispensing transaction) • 01 Revise (indicates that one or more data element values in a previously submitted transaction are being revised) • 02 Void (message to the PMP to remove the original prescription transaction from its data, or to mark the record as invalid or to be ignored).	**Yes**
DSP02	**Prescription Number** Serial number assigned to the prescription by the pharmacy.	**Yes**
DSP03	**Date Written** Date the prescription was written (authorized). Format: CCYYMMDD	**Yes**
DSP04	**Refills Authorized** The number of refills authorized by the prescriber.	**Yes**
DSP05	**Date Filled** Date prescription was dispensed. Format: CCYYMMDD	**Yes**
DSP06	**Refill Number** Number of the fill of the prescription. 0 indicates New Rx; 01-99 is the refill number.	**Yes**
DSP07	**Product ID Qualifier** Used to identify the type of product ID contained in DSP08. • 01 NDC • 06 Compound	**Yes**
DSP08	**Product ID** Full product identification as indicated in DSP07, including leading zeros without punctuation. If Compound is indicated in DSP07 then use 99999 as the first 5 characters; CDI then becomes required.	**Yes**

DSP09	**Quantity Dispensed** Number of metric units dispensed in metric decimal format. Example: 2.5 Note: For compounds show the first quantity in CDI04.	**Yes**
DSP10	**Days Supply** Estimated number of days the medication will last.	**Yes**
DSP11	**Drug Dosage Units Code** Identifies the unit of measure for the quantity dispensed in DSP09. • 01 Each • 02 Milliliters (ml) • 03 Grams (gm)	**Yes**
DSP16	**Classification Code for Payment Type** Code identifying the type of payment, i.e. how it was paid for. • 01 Private Pay (cash, check, debit, credit) • 02 Medicaid • 03 Medicare • 04 Commercial Insurance • 05 Military Installations and VA • 06 Workers' Compensation • 07 Indian Nations • 99 Other	**Yes**
PRE – Prescriber Information To identify the prescriber of the prescription.		
PRE02	**DEA Number** Identifying number assigned to a prescriber or an institution by the Drug Enforcement Administration (DEA).	**Yes**
PRE05	**Last Name** Prescriber's last name.	**Yes**
PRE06	**First Name** Prescriber's first name.	**Yes**
CDI – Compound Drug Ingredient Detail (If DSP07 is "compound") To identify the individual ingredients that make up a compound.		
CDI01	**Compound Drug Ingredient Sequence Number** First reportable ingredient is 1; each additional reportable Ingredient is increment by 1.	**Yes** **(If DSP07 is "Compound")**

CDI02	**Product ID Qualifier** Code to identify the type of product ID contained in CDI03. • 01 NDC	**Yes** (If DSP07 is “Compound”)
CDI03	**Product ID** Full product identification as indicated in CDI02, including leading zeros without punctuation.	**Yes** (If DSP07 is “Compound”)
CDI04	**Compound Ingredient Quantity** Metric decimal quantity of the ingredient identified in CDI03. • Example: 2.5	**Yes** (If DSP07 is “Compound”)
CDI05	**Compound Drug Dosage Units Code** Identifies the unit of measure for the quantity dispensed in CDI04. • 01 Each (used to report as package) • 02 Milliliters (ml) (for liters; adjust to the decimal milliliter equivalent) • 03 Grams (gm) (for milligrams; adjust to the decimal gram equivalent)	**Yes** (If DSP07 is “Compound”)
AIR – Additional Information Reporting - Situational To report other information if required by the state.		
TP – Pharmacy Trailer To identify the end of the data for a given pharmacy and to provide a count of the total number of detail segments included for the pharmacy.		
TP01	**Detail Segment Count** Number of detail segments included for the pharmacy including the pharmacy header (PHA) including the pharmacy trailer (TP) segments.	**Yes**
TT – Transaction Trailer To identify the end of the transaction and to provide the count of the total number of segments included in the transaction.		
TT01	**Transaction Control Number** Identifying control number that must be unique. Assigned by the originator of the transaction. Must match the number in TH02.	**Yes**
TT02	**Segment Count** • Total number of segments included in the transaction including the header and trailer segments.	**Yes**

12 Appendix B – ASAP Zero Report Specifications

The following information table contains the required definitions for submitting Zero Reports via sFTP or manual upload to IA PMP. The table below lists the Segment and Element ID with prepopulated data to be used as an example for constructing a Zero Report. For more details regarding these Segment or Elements IDs or for the purposes of reporting actual dispensations please refer to the previous section, Appendix A – ASAP 4.1 Specifications

Element ID	Element Name / Format	Requirement
	TH – Transaction Header	
TH01	Version/Release Number 4.1	**Yes**
TH02	Transaction Control Number See TT01; GUID is recommended	**Yes**
TH05	Created Date CCYYMMDD	**Yes**
TH06	Created Time HHMMSS or HHMM	**Yes**
TH07	File Type P = Production; T = Test	**Yes**
TH09	Segment Terminator Character Examples: ~~ or || or ::	**Yes**
	IS – Information Source	
IS01	Unique Information Source User Login ID: Pharmacy DEA or FTP Username DCIA-XXXX	**Yes**
IS02	Information Source Entity Name PHARMACY NAME	**Yes**
IS03	Message: Free Form Date Range of Zero Report: #CCYYMMDD#-#CCYYMMDD#	**Yes**
	PHA – Pharmacy Header	
PHA03	DEA Number Pharmacy DEA Number	**Yes**
	PAT – Patient Information	
PAT07	Last Name REPORT	**Yes**

PAT08	First Name ZERO	**Yes**
	DSP – Dispensing Record	
DSP05	Date Filled Date Submitted: CCYYMMDD	**Yes**
	TP – Pharmacy Trailer	
TP01	Detail Segment Count 7	**Yes**
	TT – Transaction Trailer	
TT01	Transaction Control Number Must match TH02 123456	**Yes**
TT02	Segment Count Total # of segments, including header and trailer segments	**Yes**

The following is an example, using the above values, of how a *Zero Report* would look.

TH*4.1*123456*01**20150108*223000*P**\\

IS*7705555555*PHARMACY NAME*#20150101#-#20150107#\

PHA*** ZZ1234567\

PAT*******REPORT*ZERO************\

DSP*****20150108******\

PRE*\

CDI*\

AIR*\

TP*7\

TT*123456*10\

13 Appendix C – sFTP Configuration

If submitting data via sFTP, a Clearinghouse account with sFTP access needs to already exist.

See Creating Your Account to register with PMP Clearinghouse.

See Adding sFTP to a Registered Account to add sFTP access to an existing PMP Clearinghouse account.

sFTP Connection Details:

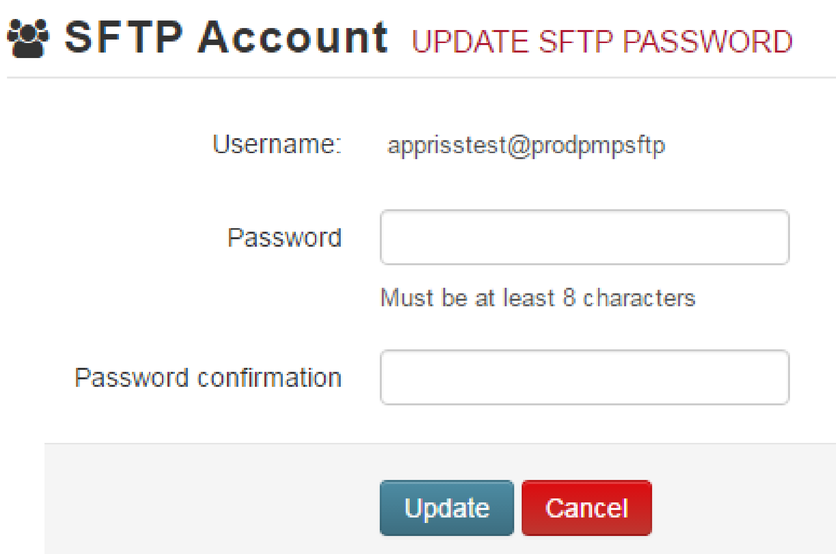
Hostname: sftp.pmpclearinghouse.net

It is recommended to use the hostname when configuring the connection rather than the IP Address, as the IP Address is subject to change.

Port: 22

Note: The port will always be 22.

- **Credentials** – Account credentials (username and password) can be found within the PMP Clearinghouse website.
- Login to PMP Clearinghouse > click ***Account*** > ***sFTP Details*** > ***Edit***
- The username cannot be modified; however, the password can be updated. The current sFTP password cannot be seen or recovered. If the password is unknown/lost, the user will need to create a new one.



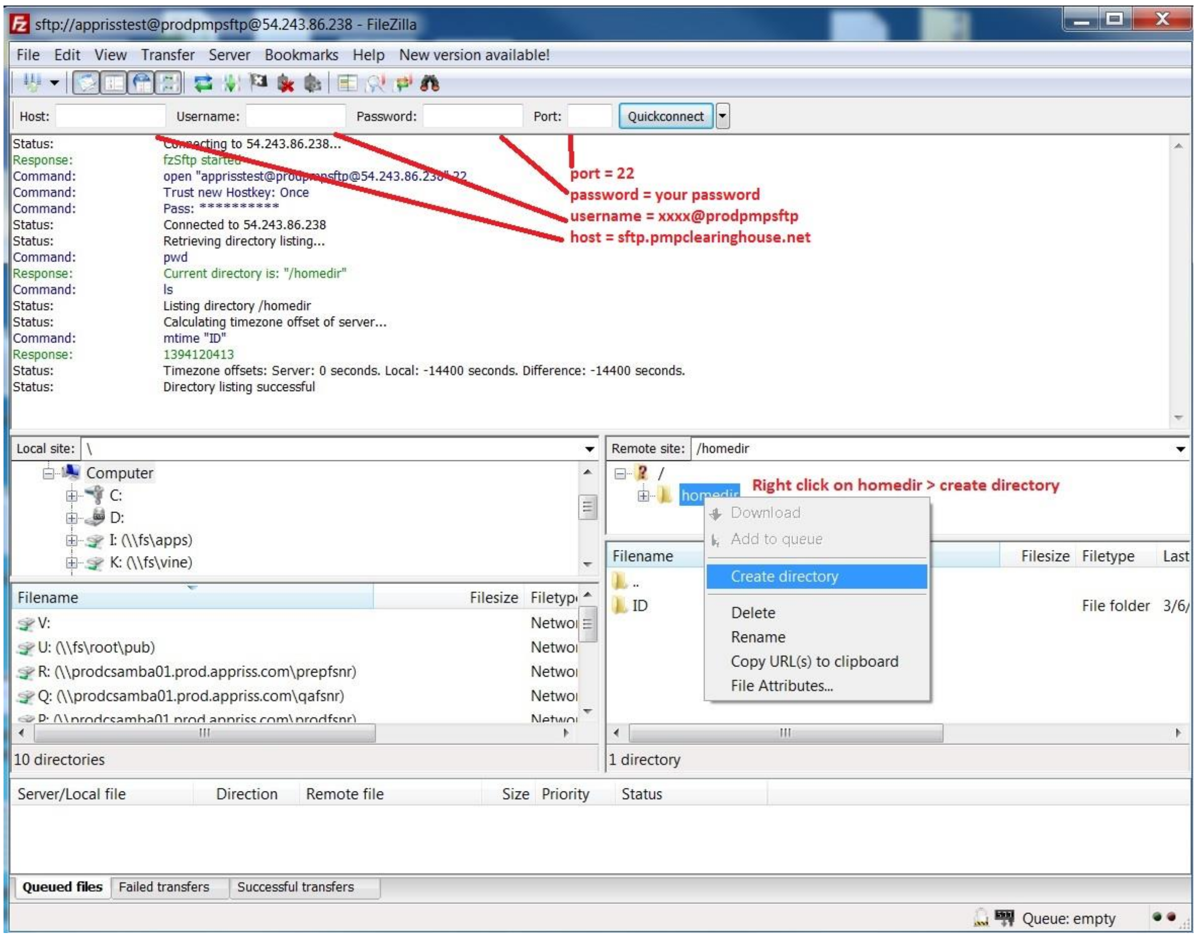
Users can test the sFTP connection, but will not be able to submit data to a PMP until their account has been approved by the state administrator.

State Subfolders

PMP Clearinghouse is the data repository for several states. As such, data submitted via sFTP must be placed in a state abbreviated folder so that it can be properly imported to the correct state. The creation of subfolders must be done outside of the PMP Clearinghouse website using 3rd party software such as a SSH Client or a command line utility. Files placed in the root/home directory of the sFTP server will not be imported. This will cause the dispensing entity to appear as non-compliant/delinquent.

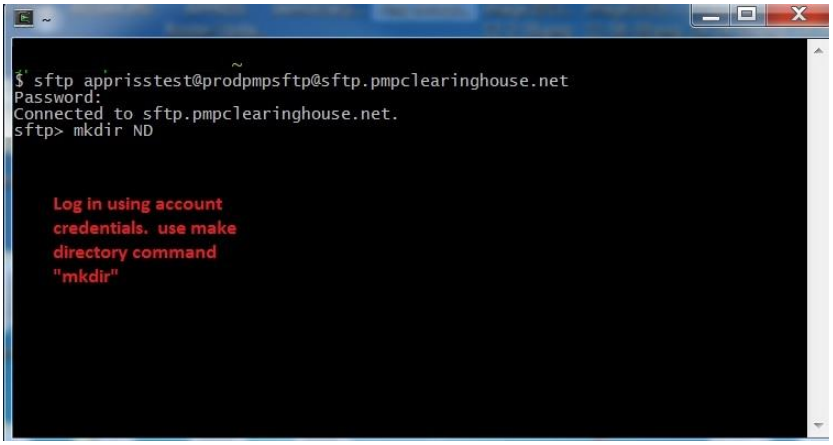
The following are two methods by which to create state subfolders for sFTP submissions.

1. **Via SSH client** (ex: WinSCP/FileZilla)
   - Log into sFTP Account and create the directories needed under ***/homedir***.



2. **Via command prompt**
   a. Log into sFTP Account using command prompt.
   b. Once logged in, type: "**mkdir**" (then the directory name you wish to create)
      a. Example: ***mkdir IA***

NOTE: The state folder must be titled as above, with the two-letter abbreviation.



Pharmacy software will need to be configured to place files in the appropriate state folder when submitting.

The software vendor may need to be contacted for additional assistance on this process.

NOTE: Capitalization of the abbreviated state folders names has no bearing on whether or not Clearinghouse processes the files; however, some pharmacy systems, especially *nix based systems, will require the exact case be used when specifying the target folder.

Public (SSH/RSA) Key Authentication

SSH key authentication is supported by PMP Clearinghouse. The generation of the key is outside the scope of this document; however, general guidelines about the key along with how to import/load the key are provided.

***PGP Encryption** is not supported.

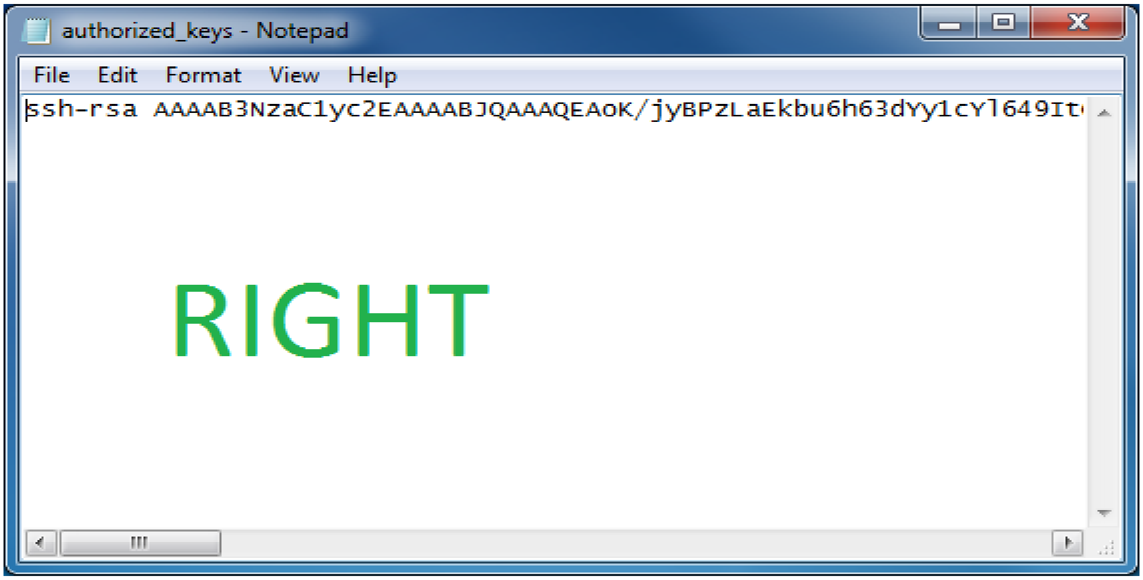
Supported Key Types:

- SSH-2 RSA 2048 bit length

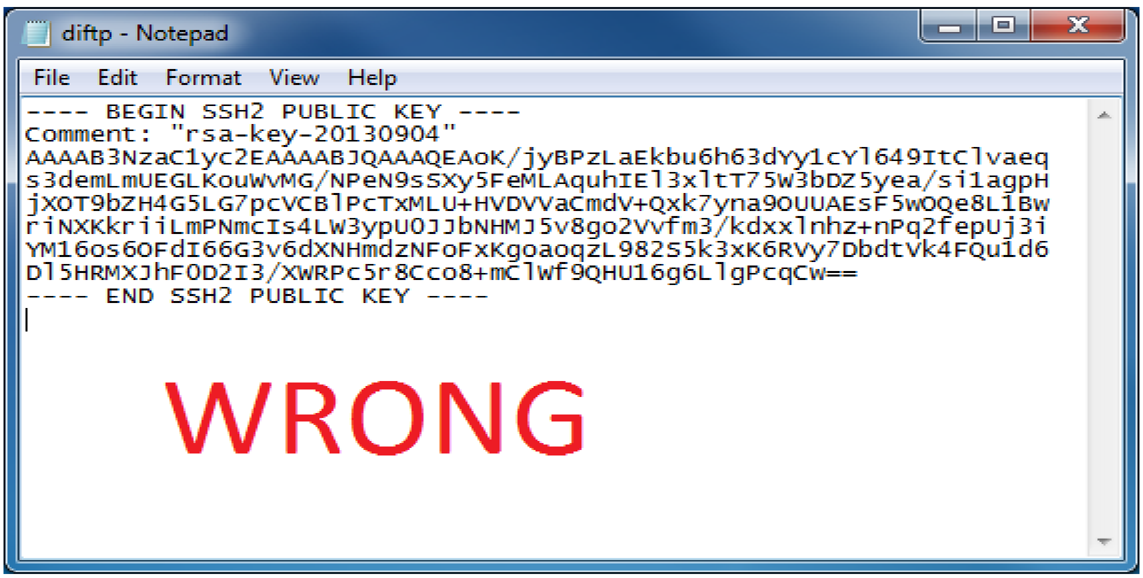
Unsupported Key Types:

- SSH-1 RSA and SSH-2 DSA keys are not supported.

Correct Public Key Format – If opened in a text editor, key should look like the following:



Incorrect Public Key Format – If opened in a text editor, key SHOULD NOT look like the following:



Once the key has been generated, it should be named "***authorized_keys***"

NOTE: There is no file extension and an underscore between the words ***authorized*** and ***keys***.

A .ssh subfolder needs to be created in the home directory of the sFTP account. The "***authorized_keys***" file must be placed in the .ssh folder. The creation of this folder follows the same process as creating a state subfolder. Refer to the State Subfolders section for steps on creating subfolders.

14 Appendix D – Universal Claim Form

The Universal Claim Form is provided on the following page.

Iowa Prescription Monitoring Universal Claim Form

FAX: 1.866.282.7076
Appriss Health
Attn: Greg Hatcher
10401 Linn Station Rd, Ste 200
Louisville, KY 40223

Patient Information

Last Name	**First Name**	**Date Of Birth**		**Gender**
Street Address	**City**	**State**	**Zip**	**Phone Number**

Dispenser Information

Dispenser Name	**DEA**

Prescription Information

(Prescription 1) Rx #	**Date Filled**	**Date Written**	**Reporting Status**	**Qty Dispensed**	**Days Supply**	**Refills Authorized**	**Refill Number**
			□ New Record □ Revise □ Void				
NDC	**Drug Name (Strength)**		**Product ID Qualifier**	**Prescriber Name**		**DEA**	
			□ NDC □ Compound				

Drug Dosage Units Code □ Each □ Milliliters (ml) □ Grams (gm)

Classification Code for Payment Type * □ Private Pay □ Medicaid □ Medicare □Commercial Insurance □Military Installations/VA □ Workers' Compensation □Indian Nations □Other **Select "Other" if the payment type is unknown.*

(Prescription 2) Rx #	**Date Filled**	**Date Written**	**Reporting Status**	**Qty Dispensed**	**Days Supply**	**Refills Authorized**	**Refill Number**
			□ New Record □ Revise □ Void				
NDC	**Drug Name (Strength)**		**Product ID Qualifier**	**Prescriber Name**		**DEA**	
			□ NDC □ Compound				

Drug Dosage Units Code □ Each □ Milliliters (ml) □ Grams (gm)

Classification Code for Payment Type * □ Private Pay □ Medicaid □ Medicare □Commercial Insurance □Military Installations/VA □ Workers' Compensation □Indian Nations □Other **Select "Other" if the payment type is unknown.*

(Prescription 3) Rx #	**Date Filled**	**Date Written**	**Reporting Status**	**Qty Dispensed**	**Days Supply**	**Refills Authorized**	**Refill Number**
			□ New Record □ Revise □ Void				
NDC	**Drug Name (Strength)**		**Product ID Qualifier**	**Prescriber Name**		**DEA**	
			□ NDC □ Compound				

Drug Dosage Units Code □ Each □ Milliliters (ml) □ Grams (gm)

Classification Code for Payment Type * □ Private Pay □ Medicaid □ Medicare □Commercial Insurance □Military Installations/VA □ Workers' Compensation □Indian Nations □Other **Select "Other" if the payment type is unknown.*